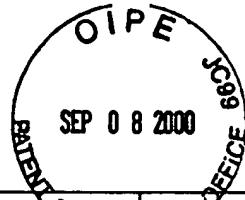


| RESPONSE TRANSMITTAL LETTER | | ATTORNEY DOCKET | | 10392/46001 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---|-------------------------------|---|-------------------------|------------------|-----------------------|----------|--|---------------------------|--|-------------------------|-----------------|-----------|----------|--------------|----|---|----|---|-------|------|--------------------|---|---|---|---|-------|------|--------------------------------|--|--|--|--|--|--|--|--|--|--|--|-------|--|--|--|--|--|--|-----------------------|--|
| SERIAL NUMBER 09/038,158 | FILING DATE March 11, 1998 | EXAMINER C. Chung | | ART UNIT 2764 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| INVENTION TITLE METHOD AND APPARATUS FOR ENABLING SMALLER INVESTORS OR OTHERS TO CREATE AND MANAGE A PORTFOLIO | | APPLICANT WALLMAN, Steven M. H. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <p>Commissioner of Patents and Trademarks Washington, DC 20231</p> <p>Transmitted herewith in the above-identified application is:</p> <p>1. Response to Office Action.</p> <p>The filing fee has been calculated as shown below:</p> <table border="1"> <thead> <tr> <th></th> <th>CLAIMS AFTER AMENDMENT</th> <th></th> <th>MOST CLAIMS PAID FOR</th> <th>NUMBER EXTRA</th> <th>RATE (\$)</th> <th>FEE (\$)</th> </tr> </thead> <tbody> <tr> <td>TOTAL CLAIMS</td> <td>49</td> <td>-</td> <td>49</td> <td>0</td> <td>18.00</td> <td>0.00</td> </tr> <tr> <td>INDEPENDENT CLAIMS</td> <td>5</td> <td>-</td> <td>5</td> <td>0</td> <td>78.00</td> <td>0.00</td> </tr> <tr> <td>MULTIPLE DEPENDENT CLAIM ADDED</td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td>TOTAL</td> <td></td> </tr> <tr> <td colspan="5">If applicant is a small entity under 37 C.F.R. §1.9 and §1.27, then divide total fee by 2, and enter amount here.</td> <td>SMALL ENTITY TOTAL</td> <td></td> </tr> </tbody> </table> <p>The Commissioner is hereby authorized to charge for underpayment, or credit for overpayment, Kenyon & Kenyon's Deposit Account No. 11-0600 for:</p> <p>a. Any additional filing fees required under 37 C.F.R. § 1.16. b. Any patent application processing fees under 37 C.F.R. § 1.17.</p> <p>A duplicate of this sheet is attached.</p> <p>Date: <u>8 Sept 2000</u></p> <p> Michael N. Haynes Registration No. 40,014</p> <p>KENYON & KENYON 1500 K Street, N.W., Suite 700 Washington, D.C. 20005 (202) 220-4200 -- Telephone (202) 220-4201 -- Facsimile</p> | | | | | | | | CLAIMS AFTER AMENDMENT | | MOST CLAIMS PAID FOR | NUMBER EXTRA | RATE (\$) | FEE (\$) | TOTAL CLAIMS | 49 | - | 49 | 0 | 18.00 | 0.00 | INDEPENDENT CLAIMS | 5 | - | 5 | 0 | 78.00 | 0.00 | MULTIPLE DEPENDENT CLAIM ADDED | | | | | | | | | | | | TOTAL | | If applicant is a small entity under 37 C.F.R. §1.9 and §1.27, then divide total fee by 2, and enter amount here. | | | | | SMALL ENTITY TOTAL | |
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PATENT

Docket No. 10392-46001

Serial No. 09/038,158

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) : Steven M. H. WALLMAN
Serial No. : 09/038,158
Filed : 11 March 1998
For : Method and Apparatus for Enabling Smaller Investors or Others to Create and Manage a Portfolio of Securities
Art Unit : 2764
Examiner : C. Chung

Honorable Assistant Commissioner
for Patents
Washington, D.C. 20231

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RESPONSE TO OFFICE ACTION

SIR:

In response to the Office Action mailed on June 16, 2000, the three month shortened statutory period for responding to which expires on September 16, 2000, the following remarks are respectfully submitted:

REMARKS

Reconsideration of this application is respectfully requested in light of the following remarks. Claims 1 to 49 remain in this application. Claims 1, 30, 36, 44, and 47 are the independent claims.